

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Lars Hellman

Art Unit : 1643

Serial No. : 09/401,636

Examiner : Unknown

Filed : September 22, 1999

Title : ENHANCED VACCINES

BOX MISSING PARTS

Assistant Commissioner for Patents

Washington, D.C. 20231

TRANSMITTAL LETTER

Correspondence relating to this application is enclosed.

1. Response to Notice to File Missing Parts of Application (2 sheets);
2. Petition for One-Month Extension of Time (1 sheet);
3. Copy of PTO 1533 (1 sheet);
4. Combined Declaration and Power of Attorney (2 sheets);
5. Verified Statement Claiming Small Entity Status (1 sheet);
6. Check for \$614 (Basic filing fee: \$380; additional claim fees: \$114; surcharge for late filing of Declaration: \$65; and Petition for One-Month Extension: \$55); and
7. Post card.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

December 16, 1999

Date of Deposit

Signature *Judith A. Wasilkus*

Judith A. Wasilkus

Typed or Printed Name of Person Signing Certificate

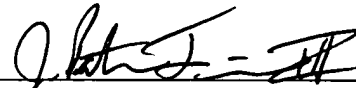
Applicant : Lars Hellman
Serial No. : 09/401,636
Filed : September 22, 1999
Page : 2

Attorney's Docket No.: 10223-006001

Please apply any charges not covered, or any credits, to Deposit Account No. 06-1050.

Respectfully submitted,

Date: December 16, 1999



J. Patrick Finn III, Ph.D.
Reg. No. 44,109

JXF/jaw

Fish & Richardson P.C., P.A.
60 South Sixth Street, Suite 3300
Minneapolis, MN 55402
Telephone: (612) 335-5070
Facsimile: (612) 288-9696

60003807.doc

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

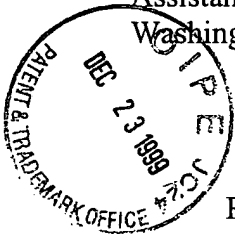
Applicant : Lars Hellman
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Art Unit : 1643
Examiner : Unknown

#3

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231



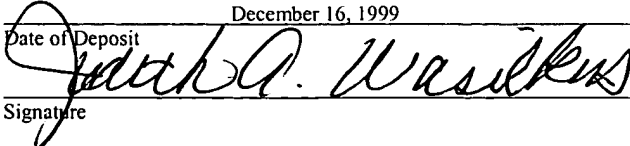
RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Responsive to the Notice to File Missing Parts of Application under 37 CFR §1.53(b) mailed September 15, 1999 (a copy of which is enclosed), applicant as a small entity submits herewith the following:

- ☒ Payment of the basic filing fee of \$380;
- ☒ Payment of the additional/multiple dependent claims fees of \$114;
- ☒ Payment of the surcharge of \$65 for late filing of the basic filing fee and/or declaration;
- ☒ Petition for One-Month Extension of Time (\$55);
- ☒ A check in the total amount of \$614 is attached;
- ☒ A Verified Statement Claiming Small Entity Status; and
- ☒ A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit December 16, 1999

Signature

Judith A. Wasilkus
Typed or Printed Name of Person Signing Certificate


Applicant : Lars Hellman
Serial No. : 09/401,636
Filed : September 22, 1999
Page : 2

Attorney's Docket No.: 10223-006001

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: December 16, 1999



J. Patrick Finn III, Ph.D.
Reg. No. 44,109

JXF/jaw

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60 South Sixth Street, Suite 3300
Minneapolis, MN 55402
Telephone: (612) 335-5070
Facsimile: (612) 288-9696

60003804.doc



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|
| 09/401,636 | 09/22/99 | HELLMAN | L 10223/006001 |

MARK S. ELLINGER
FISH & RICHARDSON
60 SOUTH SIXTH STREET
SUITE 3300
MINNEAPOLIS MN 55402

0242/1015

#3
NOT ASSIGNED

1643

DATE MAILED: 10/15/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 1118.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 72.00 for 4 total claims over 20.
\$ 156.00 for 2 independent claims over 3.
\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☐ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

W. Bell
Customer Service Center
Initial Patent Examination Division (703) 308-1202

0000056 0940136
12/28/1999 ASHLE
01 OCT 201
02 OCT 2005
03 OCT 2002
04 OCT 2003
300.00
65.00
76.00
36.00

Applicant or Patentee: Lars Hellman
 Serial or Patent No.: 09/401,636
 Filed or Issued: September 22, 1999
ENHANCED VACCINES

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) — SMALL BUSINESS CONCERN

I hereby declare that I am

the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: Resistencia Pharmaceuticals AB

Address of Small Business Concern: Box 7823, Birger Jarlsgatan 6, S-103 97 Stockholm, SWEDEN

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled ENHANCED VACCINES by inventor(s) described in:

☐ the specification filed herewith.

☒ application serial no. 09/401,636, filed September 22, 1999

☐ patent no. __, issued __.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Full Name: _____

Address: _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status when any new rule 53 application is filed or prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent on which this verified statement is directed.

| | |
|-----------------|--------------------------------------|
| Name: | Marcus Bosson |
| Title: | President |
| Address: | Box 7823, S-103 97 Stockholm, SWEDEN |

Signature: _____

Date: Stockholm, Dec. 10, 1999